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PTO/SB/05 (08-03)

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U.S. Patent and Trademark Office. U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No.	19546.0055
First Inventor	Masaharu Doi
Title	"AN OPTICAL MODULATOR WITH AN IMPEDANCE MATCHING REGION"
Express Mail Label No.	

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.		<b>ADDRESS TO:</b> Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing) 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages 48] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 7] 5. Oath or Declaration [Total Sheets] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for a continuation/divisional with Box 18 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies <b>ACCOMPANYING APPLICATIONS PARTS</b> 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 C.F.R. 3.73(b) Statement <input checked="" type="checkbox"/> Power of (when there is an assignee) Attorney 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: Claim for Priority	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No: ____ / ____ Prior application information: Examiner ____ Art Unit: ____ <b>For CONTINUATION or DIVISIONAL APPS only:</b> The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
<b>19. CORRESPONDENCE ADDRESS</b>			
<input checked="" type="checkbox"/> Customer Number		23517 OR <input type="checkbox"/> Correspondence address below	
Name	Edward A. Pennington Swidler Berlin Shereff Friedman, LLP		
Address	3000 K Street, NW Suite 300		
City	Washington	State	D.C.
Country	US	Telephone	202-424-7500
		Fax	202-295-8478

Name (Print/Type)	Michael A. Schwartz	Registration No. (Attorney/Agent)	40,161
Signature	<i>Michael A. Schwartz</i>	Date	March 12, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO  
22858 U.S. PTO  
10/798853  
031204

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 810

## Complete if Known

Application Number	TBD
Filing Date	March 12, 2004
First Named Inventor	Masaharu Doi
Examiner Name	TBD
Art Unit	TBD
Attorney Docket No.	19546.0055

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 19-5127 (19546.0055)

Deposit Account Name

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	2001	770	385	2001	385	Utility filing fee	770
1002	2002	340	170	2002	170	Design filing fee	
1003	2003	530	265	2003	265	Plant filing fee	
1004	2004	770	385	2004	385	Reissue filing fee	
1005	2005	160	80	2005	80	Provisional filing fee	
SUBTOTAL (1)							(\$ 770)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	12	-20 **	=	0	X	Fee from below	=	0
Independent Claims	2	-3 **	=	0	X	Fee from below	=	0
Multiple Dependent					X	Fee from below	=	0

Large Entity		Small Entity		
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	2051	130	65	2051	65	Surcharge - late filing fee or oath	
1052	2052	50	25	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	2053	130	65	2053	65	Non-English specification	
1812	2520	1812	2,520	2520	2,520	For filing a request for reexamination	
1804	920*	1804	920*	920*	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	1,840*	1,840*	Requesting publication of SIR after Examiner action	
1251	2251	110	55	2251	55	Extension for reply within first month	
1252	2252	420	210	2252	210	Extension for reply within second month	
1253	2253	950	475	2253	475	Extension for reply within third month	
1254	2254	1,480	740	2254	740	Extension for reply within fourth month	
1255	2255	2,010	1,005	2255	1,005	Extension for reply within fifth month	
1401	2401	330	165	2401	165	Notice of Appeal	
1402	2402	330	165	2402	165	Filing a brief in support of an appeal	
1403	2403	290	145	2403	145	Request for oral hearing	
1451	2451	1,510	755	2451	755	Petition to institute a public use proceeding	
1452	2452	110	55	2452	55	Petition to revive - unavoidable	
1453	2453	1,330	665	2453	665	Petition to revive - unintentional	
1501	2501	1,330	665	2501	665	Utility issue fee (or reissue)	
1502	2502	480	240	2502	240	Design issue fee	
1503	2503	640	320	2503	320	Plant issue fee	
1460	2460	130	65	2460	65	Petitions to the Commissioner	
1807	2807	50	25	2807	25	Processing fee under 37 CFR 1.17 (q)	
1806	2806	180	90	2806	90	Submission of Information Disclosure Stmt	
8021	8021	40	20	8021	20	Recording each patent assignment per property (times number of properties)	40
1809	2809	770	385	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	2810	770	385	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	2801	770	385	2801	385	Request for Continued Examination (RCE)	
1802	2802	900	450	2802	450	Request for expedited examination of a design application	
Other fee (specify) _____							
*Reduced by Basic Filing Fee Paid							
SUBTOTAL (3)							(\$ 40)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Michael A. Schwartz	Registration No. (Attorney/Agent)	40,161	Telephone	202-424-7856
Signature	<i>Michael A. Schwartz</i>	Date			

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